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## 2022 Schedule

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<tr>
<td>Grant Round Opens</td>
<td>January 24</td>
<td>Applicants may begin applying by submitting form to Coast Salmon Partnership Salmon Recovery Portal technician.</td>
</tr>
<tr>
<td>Application Workshop</td>
<td>February 17</td>
<td>Online workshop provides information on how to apply.</td>
</tr>
<tr>
<td>Draft Project Proposals Due</td>
<td>March 10</td>
<td>Applicants must have draft application materials completed in PRISM.</td>
</tr>
<tr>
<td>Eligibility Notification</td>
<td>March 28</td>
<td>RCO will notify sponsors whether project meets minimum eligibility standards.</td>
</tr>
<tr>
<td>Project Site Visits</td>
<td>April 25 to May 6 TBD</td>
<td>Technical Review Panel will conduct presentations and site visits with project sponsors.</td>
</tr>
<tr>
<td>Review Comments Sent to Project Sponsors</td>
<td>May 20</td>
<td>Technical Review Panel comments on draft applications and site visits will be provided to applicants.</td>
</tr>
<tr>
<td>Final Project Proposals Due</td>
<td>June 9</td>
<td>Applicants must submit final applications and comment responses in PRISM.</td>
</tr>
<tr>
<td>Project Scoring and Ranking</td>
<td>June 13 to July 15</td>
<td>Technical Review Panel will evaluate projects and develop a ranked project list based on the evaluation process.</td>
</tr>
<tr>
<td>Draft Investment Plan Submitted and Sponsors Notified</td>
<td>August 5</td>
<td>Applicants will be notified of the final project ranking. This ranked list will be provided to the Legislature for funding consideration.</td>
</tr>
<tr>
<td>Funding Notification</td>
<td>TBD</td>
<td>Legislature awards funding, depending on the 2023-2025 capital budget.</td>
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</table>
Section 1: Introduction

In this section, you’ll learn about the following:

✓ The grant program
✓ Partner roles
✓ Where to get information

About Washington Coast Restoration and Resiliency Initiative

The mission of the Washington Coast Restoration and Resiliency Initiative (WCRRI) is to protect and restore ecosystems of the Washington Coast while promoting the resilience of coastal communities through job creation and hazard reduction.

In 2015, Governor Jay Inslee and the Washington State Legislature appropriated $11.5 million in state capital funds to Washington Coast Restoration Initiative for family-wage jobs associated with habitat protection and restoration projects throughout Washington’s Pacific Coast region. Subsequent years of successful funding prompted legislators to expand the breadth of the program to include funding for coastal resiliency. In 2019, the grant program’s name was changed to Washington Coast Restoration and Resiliency Initiative to reflect the expanded mission. This program has consistently received $10 million to $12 million each biennium since inception.

Developed by a consortium of planners, grant managers, and restoration practitioners, WCRRI is a grassroots initiative jointly administered by the WCRRI Steering Committee and the Recreation and Conservation Office (RCO), which functions as the program administrator and fiscal agent. The steering committee adopts governing policies, sets project evaluation criteria, reviews project scoring and recommendations from the WCRRI Technical Review Panel, and approves a prioritized list of projects to be submitted to the Governor’s Office and the Washington State Legislature for funding consideration.
Program Strategy

WCRRRI supports projects of regional importance that: 1) address the region’s highest priority ecological protection and restoration needs while stimulating economic growth and creating jobs in coastal communities, and 2) use cost-effective methods to substantially protect and restore ecosystem functions, goods, and services. Additional objectives of the program are to advance the skills and tools used for coastal restoration and to foster ecological and community resilience by reducing hazards and risk, providing guidance for land-use planners, and improving coastal infrastructure.

The most competitive grant proposals will do the following:

- Fully address the restoration need, hazard or risk, and community benefit
- Identify process-based solutions
- Take protection and/or restoration actions
- Communicate the effectiveness of their actions at increasing the resiliency of the ecosystem
- Provide employment opportunities for coastal communities

Each grant round is a new, open solicitation for projects that will be evaluated and scored against each other. Applicants with projects from previous grant rounds that were submitted to the state Legislature for funding but were not funded must reapply to be considered for funding. The scoring criteria will be included in the Request for Proposals, found on the RCO’s WCRRI Web page at the start of the grant round.

Partner Roles

Coast Salmon Partnership

The Coast Salmon Partnership guides the long-term protection and restoration of Washington Coast’s Pacific salmon and steelhead populations in some of their last best habitats in the contiguous United States. By working to restore their numbers toward historical population levels, the partnership helps coastal communities thrive by collaborating with partners to develop solutions that put people to work and ensure the long-term health of the region’s iconic salmon and steelhead.

The Coast Salmon Partnership program director provides general support and guidance for team members and helps ensure regionwide consistency and success in meeting programmatic expectations. The program director is the liaison between RCO, the WCRRI
Steering Committee, and the WCRRI Technical Review Panel including program reporting and overseeing implementation of policies.

**RCO**

RCO is a small state agency that manages multiple grant programs to create outdoor recreation opportunities, protect the best of the state’s wildlife habitat and working farms and forests, and help return salmon from near extinction. RCO provides staff support to WCRRI.

The RCO grants manager reviews all applications for eligibility and completeness and executes and administers grant agreements. The RCO grants manager will help facilitate clear and open communication with the project sponsors, panel members, program managers, and others throughout the entire process, and will facilitate a better understanding of the funded projects and the grant program’s overall success. The RCO grants manager will be the primary point of contact from the project application development step in PRISM through project completion.

**Technical Review Panel**

The WCRRI Technical Review Panel, which is composed of public and private technical experts experienced in Washington State’s coastal ecosystems, communities, and economies, provides a comprehensive review of WCRRI projects. Members of the team may include habitat biologists, restoration ecologists, environmental engineers, foresters, economists, marine resources specialist, local stakeholder, and the RCO grants manager (non-scoring). The panel will provide technical assistance to grant applicants during open solicitation of the request for proposals, will evaluate and score submitted proposals, and will review designs of funded projects as they move forward to implementation. The panel further ensures that proposed projects meet the expectations and eligibility requirements of the WCCRRI grant program.

**About this Manual**

This manual explains how to apply for grants, the evaluation and scoring process, and gives an overview of WCRRI Steering Committee, Technical Review Panel, and RCO roles. It also outlines the primary responsibilities of the grant sponsors and explains how additional information and help may be obtained.

This manual references several other RCO manuals, grant materials, and procedures for applying for and managing a WCRRI grant. All materials are available on [RCO’s WCRRI grant Web page](https://www.rco.wa.gov/). To obtain more information please contact RCO or Coast Salmon Partnership staff listed below. This manual is reviewed and updated biennially or as needed.
Where to Get Information

**RCO**

Alissa Ferrell, Outdoor Grants Manager  
Natural Resources Building  
1111 Washington Street S.E.  
Olympia, WA 98501  
Telephone: (360) 867-8618  
FAX: (360) 902-3026  
TDD call 711  
E-mail  
Web site

**Mailing Address**  
PO Box 40917  
Olympia, WA 98504-0917

The RCO grants manager is available to assist by answering questions about the grant application process and information contained in this manual. Please feel free to call or e-mail.

**Coast Salmon Partnership**

Ned Pittman, Program Director  
Office: (360) 532-9113  
100 South I Street, Suite 103  
Aberdeen, WA 98520  
Cell: (360) 791-6191  
E-mail  
Web site

- The Coast Salmon Partnership program director is available to assist by answering questions about the grant process, policies and procedures, and the information contained in this manual. Please feel free to call or e-mail.

**Other Grant Manuals Needed**

WCRRI uses RCO’s grant framework and references several other RCO manuals. Visit RCO’s Web site to obtain copies of these publications or click the links provided.

- **Manual 3: Acquisition Projects**—This manual provides basic information about policies for acquiring land with grants administered by RCO.

- **Manual 5: Restoration Projects**—This manual provides basic information on restoration projects funded through RCO. Restoration projects generally create, reestablish, or enhance habitat by bringing it back to healthy, self-sustaining conditions.

- **Manual 7: Long-Term Obligations**—This manual provides basic information and policies about the long-term responsibilities for WCRRI projects. The policies apply to sponsors, current and past.
• **Manual 8: Reimbursements**–This manual provides general guidance for requesting reimbursements including allowable project costs, how to bill RCO, getting paid, and other requirements.

**Resource Materials**

WCRRRI partners have other publications to explain this program including the following:

• General Information: Visit RCO’s WCRRI grant web page or the Coast Salmon Partnership Web site to learn more about the background and accomplishments of this program.

• Request for Proposal: Visit the RCO’s WCRRI grant web page to obtain application materials.

Project sponsors are encouraged to review the [Washington State Office of Financial Management](#) capital budget instructions.
Section 2: Eligible Applicants and Projects

In this section, applicants will learn about the following:

✓ Basic eligibility principles
✓ Eligible applicants
✓ Eligible projects and costs
✓ Ineligible project elements
✓ Match requirements

Basic Eligibility Principles

• The proposed project activities must all occur within the geographic boundary of the Coast Salmon Partnership or within the geographic boundary of one of the four Coastal Marine Resource Committees. See Figure 1.

Figure 1. WCRRI geographic scope within Washington State.
• The primary purpose of the project must address the following: 1) address the region’s highest priority ecological protection and restoration needs while stimulating economic growth and creating jobs in coastal communities, and 2) substantial protection and restoration of ecosystem functions, goods, and services through cost-effective methods.

• Projects with the primary objective of providing recreational access or remediating chemical contamination are not eligible as stand-alone projects; however, these activities may be eligible components of a larger project.

• Project awards will not be provided for work that relieves obligatory compensation or mitigation requirements incurred by the sponsor or a third party, as determined by the WCRRI Technical Review Panel. However, funding may be provided for actions associated with compensation or mitigation, if those actions are above and beyond the mitigation requirements and may be easily isolated from the required mitigation activities.

Eligible Applicants

The following are eligible to receive WCRRI funding:

• Cities

• Counties

• Conservation districts

• Native American tribes, federally recognized Indian tribe¹

• Nonprofit organizations registered with Washington’s Office of the Secretary of State. A nonprofit charter, organizational documents, or corporate purposes must include authority for the protection or enhancement of natural resources or related recovery activities. The charter must provide for an equivalent successor organization under the WCRRI grant agreement in case the nonprofit dissolves.

• Regional fisheries enhancement groups

• Special purpose districts

¹Revised Code of Washington 77.85.010 (12)
• State and federal agencies. Projects may occur on federal lands. Applicants should consider restrictions to using federal money for match when applying for a grant.²

• Private or public corporations

### Eligible Projects

WCRRI funds a range of projects that correspond with the WCRRI Program Strategy listed within Section 1 of this document. If the landowner has a legal obligation under local, state, or federal laws to perform the project, the project must comply with Revised Code of Washington 77.85.130 (6).

### Acquisition

An acquisition project is one that purchases or receives a donation of fee or less-than-fee interests in real property. These interests include, but are not limited to, conservation easements, access and trail easements, covenants, water rights, leases, and mineral rights. Grant applicants interested in acquiring conservation easements must be eligible to hold conservation easements under Revised Code of Washington 64.04.130. Rights or claims may be acquired once the value is established or appraised. Sponsors must complete all WCRRI-funded acquisition projects within 3 years of funding approval unless additional time is necessary, can be justified, and is approved by RCO.

RCO has very specific due diligence, appraisal, reporting, and timeline requirements for acquisition projects so refer to the requirements and checklists in Manual 3: Acquisition Projects.

Note that any land costs incurred before the program funding date are ineligible for reimbursement or match unless the grant applicant receives a Waiver of Retroactivity before acquiring the property. To preserve eligibility, contact the RCO grants manager if a property will be purchased before the funding award. See Section 3 of Manual 3: Acquisition Projects for more information on applying for a Waiver of Retroactivity.

RCO does not fund property acquired through condemnation, only property acquired from willing sellers. All acquisitions must be perpetual, including water right acquisitions.

Acquisition projects must identify specific parcels. However, an applicant may propose purchasing stream reaches, estuaries, near-shore, or other larger habitat areas if

²When land acquired with a WCRRI grant is transferred to a federal agency, RCO may change the terms of the grant to remove binding deed-of-right instruments and enter into a memorandum of understanding stating that the property will retain, to the extent feasible, adequate habitat protections. See Revised Code of Washington 77.85.130(7).
Section 2: Eligible Applicants and Projects

purchasing any parcel within the specified area will achieve the project’s objectives. In that case, the applicant must identify a geographic envelope, including all the possible parcels that will provide similar benefits to species or ecological services and certainty of success in the proposal. These parcels should be contiguous or nearly contiguous and include similar conservation values to make them effectively interchangeable when being evaluated for funding. Clearly describe how parcels will be prioritized and pursued for acquisition. Landowner Acknowledgement Forms are required with each application. For multi-site acquisition projects, enter the top priority parcels with Landowner Acknowledgment Forms into PRISM.

It is important to remember that some activities are never allowed on WCRRI-funded acquired properties. Refer to the Section 7 of Manual 3: Acquisition Projects.

Restoration

Restoration brings a site back to its original, historical function as part of a natural ecosystem; or improves or enhances the ecological functionality of a site. Restoration projects must be completed within 3 years of WCRRI funding approval unless additional time is necessary, can be justified, and is approved by RCO.

Restoration projects should have undergone a planning and design process that generally follows the guidance described in Appendix F. Depending on the scope and complexity of a restoration project and the level of design available at application, the WCRRI Technical Review Panel may require a special condition in the grant agreement that the sponsor submit preliminary designs and a design report for review before developing a final design or starting construction.

To be eligible for funding consideration, an applicant with a large restoration project is required to submit preliminary design deliverables by the final application deadline. RCO defines large restoration projects as those where the applicant is requesting more than $250,000 in WCRRI funding to complete the final design and restoration. If RCO funded the planning or design phase of a proposed restoration project, the applicant must submit the completed design deliverables (at a minimum the preliminary designs) by the final application deadline.

Landowner Acknowledgement Forms are required when a project occurs on land not owned by the sponsor (including publicly owned property). Once funded, Landowner Agreement Forms are required before beginning construction on private land or land not owned by the sponsor. Note that projects on state-owned aquatic or trust lands require approval from the Washington Department of Natural Resources.

3Washington Administrative Code 420
The Washington Department of Fish and Wildlife Technical Assistance Program provides excellent planning and design guidance for a variety of aquatic habitat restoration projects. This program is a federal and state agency endeavor to provide consistent guidance for the management, protection, and restoration of Washington’s marine, freshwater, and riparian habitats. Guidelines are online. Please refer to Appendix F for specific design and construction deliverables, based in part on industry standards identified by the aquatic habitat guidelines.

The use of non-natural materials in the construction of WCRRI-funded restoration techniques is strongly discouraged. Applications that include these techniques will be highly scrutinized for their contributions to restoring ecosystem processes and for their species benefits. Artificial materials such as concrete, synthetic materials, and steel tend to remain in place long after the habitat enhancement techniques in which they have been incorporated have disintegrated naturally, and result in unnatural constraints on long-term, habitat-forming ecosystem processes. Refer to the Washington Department of Fish and Wildlife’s 2012 Stream Habitat Restoration Guidelines and National Marine Fisheries Service’s 2008 Programmatic Biological Assessment: Restoration Actions in Washington State for detailed discussion of the disadvantages of using non-natural materials in stream restoration and the advantages of using materials and techniques that mimic the conditions found in natural settings.

The WCRRI program is designed to support all species and habitats that occur within the Washington Coast region. Applicants are responsible for demonstrating that the proposed project outcomes support the protection, restoration, enhancement of ecosystem functions and processes related to the resilience of these species or their habitats. Guidelines for restoration projects are in Manual 5: Restoration Projects.

### Planning Projects: Designs

Good designs are a key precursor to implementing successful habitat restoration projects, particularly if large in scale. Design projects must produce conceptual, preliminary, or final design deliverables. All design projects must address a limiting factor, hazard, or risk at a specific location.

The project must result in either preliminary design or final project design. See Appendix F for definitions and required deliverables for each of these phases of project development.

WCRRI recognizes that project designs are sometimes complex in nature, and thus no time restriction has been set on these types of projects. However, project sponsors who demonstrate that they can complete their tasks within the biennium could be awarded more points under WCRRI Technical Review Panel’s “Likelihood to Succeed” evaluation criterion in Appendix A.
Submit completed design deliverables or, at a minimum, preliminary designs with the final application for the next phase of a project. Projects only producing conceptual designs must submit those with the application for the next phase.

### Planning Projects: Assessments and Inventories

Planning projects that do not produce a site-specific design include habitat assessments and surveys; habitat scoping; feasibility studies; culvert inventories and in-stream surveys; landowner willingness inventories; and innovative learning projects. Assessment and inventory-type planning projects must be completed within 2 years of WCRRI funding approval unless additional time is necessary, can be justified, and is approved by RCO. All assessments and inventories must create local natural resources jobs or be necessary precursors to implementing projects, programs, or innovative techniques to improve habitat identified in a plan. Such projects may document and evaluate habitat quality and use; identify the extent and nature of problems and habitat deficiencies; identify and prioritize habitat restoration and protection activities to address these issues; evaluate landowner willingness to participate in restoration and protection activities; or evaluate novel approaches to the restoration of ecosystem function or processes.

Planning projects that do not produce a site-specific design must meet all the following criteria:

- The project fills a data gap that clearly limits subsequent project identification or development.
- The results must clearly determine criteria and options for subsequent projects and show the schedule for implementing such projects, if funded.

Assessments and inventories must coordinate closely with other assessments and data collection efforts in the area and with federal, tribal, state, regional, and local organizations, and landowners to prevent duplication of effort and to ensure the use of appropriate methods and protocols. To improve coordination, applicants are encouraged to collaborate with other organizations.

Applicants with barrier inventory projects must use the methodologies and protocols described in the Washington Department of Fish and Wildlife’s *Fish Passage Inventory, Assessment, and Prioritization Manual* to collect barrier inventory data. Contact the Washington Department of Fish and Wildlife’s Fish Passage Inventory and Assessment Unit FishPassageTraining@dfw.wa.gov, to schedule training on the protocols described in this manual and for data submission procedures. Upon completion of a barrier inventory project and a passage barrier correction project, the inventory or correction data should be delivered to the Washington Department of Fish and Wildlife for incorporation into the *Fish Passage Barrier Database*. Final reimbursement will be approved after the delivery of this information.
Combination Projects

Combination projects include both acquisition and restoration elements OR acquisition and planning. This type of grant allows for complex projects that otherwise would not be possible. For example, acquired land may need some immediate restoration to make the habitat suitable to fish. Likewise, some potential acquisitions may need an initial assessment of the landowners’ willingness to sell to identify the most beneficial parcels of habitat. **Combination projects must be completed within 3 years** of WCRRI funding approval unless additional time is necessary, can be justified, and is approved by RCO.

To help ensure timely completion of combination projects, the property acquisition portion **must be completed within 18 months** of funding approval.

Phased Projects

Large projects can be complex, multi-year, multi-partner, and require extensive analysis, coordination, and implementation. Consider the potential complexity that large-scale or multi-million dollar projects may create and discuss phasing with RCO staff and the WCRRI Steering Committee. Phased projects are subject to all of the following:

- Each phase must stand on its own merits as a viable WCRRI project.
- Each phase must have a scope of work the applicant can afford and complete given the amount of WCRRI funding requested.
- Each phase must be submitted as a separate application.
- Funding approval of any single phase is limited to that phase (no endorsement or approval is given or implied toward future phases).
- The application reviewers may consider progress on earlier phases when making decisions on current proposals. Applicants must submit planning and design deliverables of previously funded phases by the final application deadline for the current grant round.

Eligible Costs

All project costs submitted for reimbursement must directly relate to the work identified in the grant agreement and be considered reasonable, necessary, and eligible. Itemized lists of eligible expenses may be found in *Manual 5: Restoration Projects* and *Manual 7: Long-Term Obligations*. Additional eligible costs for WCRRI funds are described below.
Pre-agreement Costs

Generally, RCO will not reimburse costs incurred before the project start date of the grant agreement. However certain pre-agreement costs within the project scope are eligible for reimbursement (or to be used as match) if approved by the RCO grants manager in writing. Eligible pre-agreement costs include the following:

- Engineering and design costs for restoration projects (i.e. construction)
- Engineering and design costs (e.g. surveying, geotechnical, other data gathering) for planning projects
- Costs necessary to determine control and tenure of the restoration site (e.g. preliminary title report).
- Costs necessary to establish land values for acquisition or conservation easement projects (e.g. survey, appraisals, title report).
- Acquisition projects granted a Waiver of Retroactivity.
- If cost-effective (i.e. materials are available at a reduced cost), the construction materials below and any associated transportation costs. RCO requires advance approval by the RCO grants manager to reimburse pre-grant purchase of any of the construction materials listed below.
  - Large woody materials
  - Culverts
  - Bridges

Except costs noted above, RCO will not pay for purchases of land, construction materials and associated costs, or installation costs incurred before the project start date of the grant agreement.

Attorney Fees

Reasonable attorney fees associated with restoration, planning, and combination projects may be an eligible administrative expense. Provide justification for the expense in writing and receive approval from the RCO grants manager in advance of the expenditure. Eligibility will be determined case-by-case. Attorney fees will be considered in light of project type, transaction complexity, and demonstrated need. RCO will consider reimbursement of attorney fees when they relate to complicated landowner agreements.
## Liability Insurance

Liability insurance is a reimbursable administrative expense for restoration, planning, and combination projects. Sponsors may bill proportionally the cost of liability insurance to the project. Liability insurance expenses must directly relate to the completion of the WCRRI-funded project.

## Indirect Costs

RCO allows indirect costs for all projects. At the time of application submission, attach a RCO Fiscal Data Collection Sheet, which indicates the indirect rate expected for the project. Start filling out this form early and work with accounting staff to estimate the indirect costs. For indirect costs to be eligible, select the “Agency Indirect” work type on the metrics page, enter an associated cost, and include it in the detailed cost estimate attachment in the application.

## Ineligible Project Elements

Some projects or elements that do not directly foster the WCRRI program goals and purposes, or do not meet cost or public policy constraints are ineligible as match and for reimbursement. Activities that are ineligible for reimbursement and match include the following:

- Property acquisition through eminent domain.
- Property acquired before the project start date in the grant agreement without a Waiver of Retroactivity (see Section 3 of RCO Manual 3: Acquisition Projects).
- Restoration activities before the project start date in the grant agreement.
- Construction material purchased before the project start date in the grant agreement, unless approved as a pre-agreement cost (see Section 4 of this manual for more information).
- Land leases, except for those projects on state-owned aquatic lands.
- Mitigation projects, activities, or funds. This prohibition includes cost over-runs for mitigation projects that do not have enough money for implementation. WCRRI funds may not supplement or supplant the cost of a mitigation project.
- Maintenance as stand-alone projects. This does not include riparian stewardship projects or invasive species treatment programs. Applicants with invasive species treatment programs have additional questions about the future of the program in the project application.
- Project effectiveness monitoring costs associated with a completed project, including the purchase of equipment to monitor a WCRII restoration or acquisition project.

- Purchase of existing structures that are not essential to the functions or operation and maintenance of the funded site. Non-essential structures must be removed or demolished (see Section 4 of this manual for more information).

- Building or indoor facility construction.

- Capital facilities and public works projects. Projects with infrastructure elements such as sewer treatment facilities, surface and stormwater management systems, and water supply systems are not eligible as stand-alone projects.

Projects that include flood protection structures must demonstrate a linkage to community resilience. If such infrastructure is included as a purpose of the project, the infrastructure must be included in the design documents. Evaluation of these projects will consider compatibility with and impact to adjacent habitat. Sponsors are encouraged to include project elements that restore natural flood retention or protection solutions whenever possible. Sponsors must demonstrate that process-based restoration was a considered alternative when proposing to construct new flood protection structures. Providing this information allows for a comprehensive review of the project by the WCRII Technical Review Panel early in the process to resolve any potential issues. Applicants should consider consulting with RCO before applying to ensure project eligibility.

- Conversion from septic to sewage treatment systems.

- Operation or construction of fish hatcheries.

- Net pens, artificial rearing facilities, remote site incubation systems, and supplementation.

- Operation of hydropower facilities.

- Fish harvest and harvest management activities that are outside the eligible project types discussed above.

- Fishing license buy-back.

- Park facilities or structures.

- Lobbying or legislative activities.

- Costs to apply for WCRII or other grants.
• Projects that do not address an important habitat condition or ecosystem functions, goods, or services, or that focus mainly on supplying a secondary need.

• Environmental cleanup of soils or materials contaminated above levels in the Model Toxics Control Act.

• Purchase of motor vehicles as a direct expense is not permitted. Mileage support, vehicle maintenance, and vehicle leases are allowable direct costs. Funds towards the purchase of a vehicle can be covered as operational (indirect) costs.

Match Requirements

The WCRRI grant program does not require match. However, applications will be evaluated relative to the amount provided as match to demonstrate an applicant’s ability to leverage support.

Matching resources may include cash, bond funds, grants, in-kind labor, equipment, and materials. Manual 8: Reimbursements provides specific guidance on match and reimbursements.
Section 3: Application Information

In this section, you’ll learn about the following:

- How to apply for WCRRI funding
- Tips to avoid common mistakes
- WCRRI scoring criteria and evaluation process

How to Apply for WCRRI Funding

WCRRI grants are available every 2 years aligning with the Washington State Legislature’s biennial capital budget process. A grant program announcement will be available through RCO and the Coast Salmon Partnership during February of even years. To submit a proposal, applicants should follow the steps listed below.

Step 1. Work with Salmon Recovery Portal Technician

The Coast Salmon Partnership’s Salmon Recovery Portal (formerly Habitat Work Schedule) technician must begin the application by entering project information into the Salmon Recovery Portal. Applicants must submit a completed Conceptual Project Form to the Salmon Recovery Portal Technician Rebekah Brooks (rebekahbrookscontracting@gmail.com) for this process.

By using the Salmon Recovery Portal to create new applications in PRISM, which is RCO project management database, the project is linked to both systems.

The portal technician will contact the applicant once the project information has been entered and provide the PRISM project number. Applicants use the project number to find the project in PRISM to complete the application in the PRISM Online Application Wizard.
Allow up to one business week to receive a PRISM number from the Salmon Recovery Portal.

All applicants must use PRISM Online to complete and submit applications. New PRISM users must fill out a New User Account Form to obtain a user name and password. All applicants also must acquire a separate SecureAccess Washington account. When using either of these databases for the first time, applicants must complete a double sign-in. After the initial sign in, applicants will use SecureAccess Washington credentials to log into PRISM. The most direct way to navigate to PRISM online via SecureAccess Washington is by using RCO’s link for PRISM Online. For more details on the double-sign in, visit RCO’s PRISM information Web page.

The PRISM Help Desk can provide technical assistance for any PRISM issue.

Step 2. Submit Application Materials Using PRISM Online

Once a PRISM project number is assigned, use PRISM Online to complete the application. Do not share a PRISM user name and password with others in the applicant’s organization. Multiple users may work on one application in PRISM, just add individuals to the Project Contacts list.

Sign in to PRISM Online, select “Project Actions,” and enter the project number from the Salmon Recovery Portal in the “Go to Project” field. Doing so will open the “Application Wizard” for the project. In “Project Actions” select the Applications icon, which will display a list of applications for the applicant’s organization.

If the project is not in PRISM, please contact the RCO grants manager or the PRISM Help Desk.

Complete the required information on each screen and click the “Next” button. This process will take the applicant through the entire application page by page. Be sure to save work often. It is best not to have two people working in the application in PRISM simultaneously.

After completing the application, check the application for errors on the “Submit Application” screen. Pages indicated with a red exclamation mark (!) in the navigation
Draft Application

A draft application checklist and information on required draft application attachments is found in Appendix B. Draft application materials are provided for technical review to inform the project site visit. Applicants are encouraged to provide all the information that is known about the project to inform the site visits for the most comprehensive feedback.

Step 3: Site Visits

If safe and feasible, an applicant is required to give a 20- to 30-minute presentation or field site visit to members of the Technical Review Panel. The Coast Salmon Partnership will reach out to applicants to schedule site visits or presentations after the draft project proposal due date. The Technical Review Panel will visit eligible proposed projects, unless deemed not necessary by the review panel (e.g. assessments, feasibility studies, or project sites previously visited in other grant rounds). The presentations and site visits are intended to improve reviewers’ understanding of projects. There is also opportunity for reviewers to ask clarifying questions and provide applicants with direct feedback before the final ranking of projects. Applicants are strongly encouraged to give the presentation in person.

After reviewing draft proposal materials and conducting site visits, the Technical Review Panel will complete project comment forms with directions on how applicants can improve their projects before the final application deadline.

Step 4: Final Application Submission

A final application checklist and information on required draft application attachments is found in Appendix B. Applicants must respond to written Technical Review Panel comments in the WCRRI project proposal. All final application information and materials must be entered into the PRISM project application and submitted by the final application deadline. Incomplete applications or late submissions will be ineligible for funding, will not be evaluated, and will be excluded from the final program investment plan.
Tips to Avoid Common Mistakes

- **Scope of the project.** Be sure the project description and other application materials reflect the entire project scope. Include tasks covered by proposed WCRRI funds and tasks covered by matching funds.

- **Contingency.** Do not include a line item for contingency in cost estimates. Ensure that each of the budget line items accounts for inflation and contingencies.

- **Architecture and engineering.** Include architecture and engineering costs in the cost estimate for restoration projects. Architecture and engineering costs include project administration, engineering, and design. “Architecture and engineering” is a separate work type in PRISM and must be selected to enter an associated cost. Note that architecture and engineering costs are tracked separately from construction costs for each worksite billed. Refer to *Manual 5: Restoration Projects* for guidance on what activities represent architecture and engineering expenses, and what activities represent construction expenses—the difference is not always obvious. The maximum allowable total architecture and engineering expense is 30 percent of construction costs.

- **Administrative Costs for Acquisition Projects.** Include administrative costs in the cost estimate for acquisition projects. To be eligible, select “Administrative Costs” on the acquisition metrics page and enter an associated cost. Administrative costs track separately from land and incidental costs for each property billed to RCO. Refer to *Manual 3: Acquisition Projects* for guidance on what activities represent administrative costs. The maximum allowable total administrative expense is 5 percent of land plus incidental costs.

- **Permitting and cultural resources.** Include permitting and cultural resource expenses in planning and restoration projects, as appropriate. Select both permits and cultural resources as separate PRISM work type categories. Additional information on the cultural resources review process is in Section 4 of this manual.

- **Pre-agreement costs.** Certain pre-agreement costs are eligible for reimbursement (see *Manual 8: Reimbursements*). RCO does not allow reimbursement for land acquisition or construction that occur before the agreement start date. Exceptions to these restrictions include planning costs, purchase of construction materials, and land acquisition that occurs before grant agreement, but after securing an RCO Waiver of Retroactivity. Secure waivers BEFORE closing on the property.
• **Worksites and properties.** RCO requires tracking restoration project expenses separately for each worksite and tracking acquisition projects by property. Limit the number of worksites to those required and fiscally tracked for a restoration project. Acquisition projects should add a property for each transaction, i.e. multiple property transactions will require multiple properties. For restoration and planning projects, it is allowable to have multiple, non-contiguous properties associated with one worksite.

• **Applicant Resolution and Authorization.** The applicant’s governing body must pass a [resolution that authorizes submission](#) of the application for funding. This resolution will identify who may sign a contract and amendments on behalf of the organization. For non-tribal sponsors, the format of RCO’s authorization form may change, but the text may not change. Only one form is required per applicant, but individual project names and numbers must be included in the resolution. Forms filled out incorrectly or unsigned are not valid and will require revisions. For help, contact a RCO grants manager before signing the form. Secondary sponsors also must complete this form. Tribal sponsors are not required to submit this form at the time of application.

• **Working with Landowners.** To ensure the complete application may be submitted by the deadline, and to expedite project implementation, make sure to work with landowners including state or local agencies, early. Make time to review all project control and tenure documents to confirm information is complete and signed by the appropriate person. Required documents include RCO’s Landowner Acknowledgement (due at application) and Landowner Agreement Forms, and right-of-entry permits (due before implementation), depending on the project type.

• **Landowner Acknowledgement Form:** A [Landowner Acknowledgement Form](#) is required for all projects proposed to occur on property not owned by the applicant at the time of application. Include a signed Landowner Acknowledgement Form from each landowner acknowledging that the property is proposed for funding consideration. Exceptions:

  o Assessments, inventories, and studies that cover a large area and encompass numerous properties do not require Landowner Acknowledgement Forms.

  o Multi-site acquisition projects that involve a large group of landowners, require (at minimum) signed Landowner Acknowledgement Forms for priority parcels.

**NOTE:** A Landowner Acknowledgement Form differs from a Landowner Agreement, which is required for restoration projects on land not owned by the applicant before construction. Refer to Section 4 for further information on landowner agreements.
• **Washington Department of Fish and Wildlife lands:** If the project is on land owned or managed by the Washington Department of Fish and Wildlife, the applicant should initiate consultation with the department early to allow enough time to get the required agency support documents. The department’s State Lands Division manager is the only authorized person who may sign the required control and tenure documents and access permits. Regional staff contact information may be found online. Successful applicants should be prepared to work with the department’s regional staff to prepare these documents.

• **State-owned aquatic lands:** If a project will occur over, or in, and alongside a navigable body of water, an authorization to use state-owned aquatic lands may be needed. All marine waters are, by definition, navigable, as are portions of rivers influenced by tides. Navigable rivers and lakes are those determined by the judiciary, those bounded by meander lines, or those that could have been used for commerce at the time of statehood. The Department of Natural Resources’ aquatic land managers will help the grant applicant determine if the project will fall on state-owned aquatic lands and provide more information on its authorization process. See the land manager coverage map online for contact information for the Department of Natural Resources aquatics land managers.

If the project is on state-owned aquatic lands, the grant applicant will need to secure a lease or easement (use authorization) to use those lands from the Washington Department of Natural Resources. Securing a lease or easement may take up to a year to receive. RCO requires the executed lease or easement within 60 days after board funding approval to show control and tenure for the site. The lease or easement is required before the project will be placed under agreement, unless RCO’s director approves an extension in advance. Review the control and tenure requirements in *Manual 5: Restoration Projects*.

The following online resources may be helpful to review:

- [Grant Projects on State-owned Aquatic Lands](#)
- [Leasing State-owned Aquatic Lands](#)
- [Boundaries of State-owned Aquatic Lands](#)
- [Caring for Washington’s Nearshore Environments](#)

**Department of Natural Resources’ Review of Project Scope**

Local government applicants that need to secure a use authorization meeting board policy must do all the following:

- Meet with the Department of Natural Resources to review the proposed scope of work.
Complete a Joint Aquatic Resource Permit Application (JARPA) and give a copy to the Department of Natural Resources.

Attach to the grant application a Scope of Work Acknowledgement Form (signed by the Department of Natural Resources) by the technical completion deadline.

State agency applicants must follow the same procedure when developing a new facility where one currently does not exist. RCO will coordinate an interagency in-person review of proposals for all other state agency projects.

Step 5: Project Scoring Criteria and Evaluation Process

WCRRI uses a competitive, peer-reviewed ranking process to compare the costs and benefits of projects. Review procedures are intended to evaluate anticipated value of the entire project. Applicants are strongly encouraged to present their projects as cohesive and complete design, restoration, or protection actions. Proposals are expected to provide accurate and precise information about predicted project benefits and costs.

Draft project proposals will be reviewed by RCO staff to ensure that the proposed project meets the programmatic eligibility. Project sponsors will be given an opportunity to address any identified concerns before scheduling site visits. Applicants that fail to respond to the WCRRI Steering Committee’s concerns will be deemed ineligible and not be scheduled for site visits with the Technical Review Panel.

Final project proposals will be evaluated by the Technical Review Panel using the WCRRI criteria provided in Appendix A. Final proposals that fail to meet eligibility or application requirements will not be included in the ranking process. Once all projects have been reviewed and scored, an investment plan will be developed based on the Technical Review Panel scores and discussion. Once the WCRRI Investment Plan is developed, there will be no changes to the project ranking although funding award recommendations may differ from requested amounts.

Step 6: Program and Project Funding

The Washington State Legislature awards program funds in the biennial capital budget. Once passed and enacted, RCO will contact funded applicants to initiate grant agreements. Project funds become available starting July 1 of odd-numbered years, or when the capital budget is enacted, whichever is later. Unless an eligible pre-agreement costs, any expenses incurred before this date are not eligible for reimbursement or match.
Section 4: Project Requirements

In this section, you’ll learn about the following:

- Beginning a funded project
- Active projects
- Closing a project
- Site maintenance and long-term obligations
- Other requirements and things to know

Beginning a Funded Project

Grant Agreement

RCO and the applicant must sign a grant agreement after WCRRI funding is awarded and before work can begin. A sample grant agreement for non-tribal sponsors is on the RCO Web site. Successful project applicants are required to provide the following information to their RCO grants manager:

- A completed milestone worksheet (worksheet provided by RCO).
- A preliminary title report and Preliminary Title Report and Commitment Checklist (Manual 3: Acquisition Projects, Appendix K) for all properties planned for acquisition (acquisition projects only). Reach-scale, multi-property acquisition projects should provide material for their known priority parcels.
- A signed Landownership Certification Form for all properties upon which design or implementation, and construction of restoration projects are proposed. This form ensures the applicant reviewed property information and that no existing deed restrictions, liens, easements, or other encumbrances would impede construction, operation, or maintenance of the project. RCO will waive this requirement if the applicant did not identify the property affected by the design.
Key Grant Agreement Terms

The purpose of the grant agreement is to protect the state’s investment and outline the responsibilities of the state and the sponsor. The agreement also includes key milestone dates for the project’s implementation. Below are key sections of the project agreement.

- **Performance by the sponsor**: The sponsor is undertaking the responsibility for the project and must complete all elements as identified in the application materials.

- **Assignment**: The sponsor may not transfer or assign the contract without prior approval per Appendix D.

- **Responsibility for project**: The project remains the sole responsibility of the sponsor.

- **Indemnification**: The sponsor must indemnify, defend, and hold harmless the State and its agencies, officials, agents, and employees for this project.

- **Compliance with applicable law**: The sponsor will implement the grant agreement in accordance with applicable federal, state, and local laws and regulations.

- **Right of inspection**: The sponsor shall provide access to the facilities in accordance with the grant agreement and/or landowner agreement.

- **Procurement requirements (Section 16 of the grant agreement)**: If sponsors have a procurement process that follows applicable state and/or federal procurement principles, it must be followed. If no such process exists, the sponsor must follow all of these minimum procedures:
  
  o Publish a notice to the public requesting bids/applications for the project.

  o Specify in the notice the date for submittal bids/applications.

  o Specify in the notice the general procedure and criteria for selection.

  o Comply with the same legal standards regarding unlawful discrimination based upon race, ethnicity, sex, or sexual orientation that are applicable to state agencies in selecting a bidder or proposer.

Sponsors must complete all deliverables described in their grant agreements, as amended, within their agreement periods. RCO grants managers may consult with the WCRRI Steering Committee when reviewing compliance with grant agreement conditions.
**Readiness to Proceed**

All projects must be completed on time. The RCO grants manager will work with sponsors to set progress milestones. The WCRRI Steering Committee may terminate a grant or reduce a grant award if the sponsor does not meet key milestones or finish on time. WCRRI cannot guarantee funding for projects that extend beyond the funding biennium because re-appropriation of unspent funds requires legislative approval. Sponsors who choose to have project timelines that extend past this date do so at their own risks. Applicants who can demonstrate their projects can be completed within the funding biennium will be awarded more points during project evaluation than those who do not.

**Control and Tenure**

To protect investments, sponsors must have adequate control of project sites to construct, operate, and maintain the areas for the term required by the grant program and grant agreement. This “control and tenure” may be through land ownership, easement, or landowner agreement.

A landowner agreement is required before reimbursement for any construction-related activity.

A landowner agreement remains in effect for at least 10 years from the date of final payment to the project sponsor.

If the project sponsor is not the landowner, the project sponsor must sign an agreement with the landowner. RCO recommends project sponsors use the [Landowner Agreement Form](#) as provided. The agreement should define the terms, conditions, and obligations of both the landowner and the project sponsor. At a minimum, the agreement should do the following:

- Allow the sponsor and RCO staff access to the site for project implementation, inspection, maintenance, and monitoring.
- Clearly state that the landowner will not intentionally compromise the integrity of the project.
- Clearly describe and assign all project monitoring and maintenance responsibilities.

If the project sponsor owns the land, a landowner agreement is not needed. At the close of the project, the project sponsor must complete a stewardship plan. For more on stewardship plans see the subsection below about site maintenance and long-term obligations.
Project Design Review

Design deliverables must be submitted to RCO via PRISM, on the Attachments page, by the date in the project milestones. If the deliverable is conditioned for review in the grant agreement, the RCO grants manager will alert the WCRRRI Technical Review Panel members to the availability of materials. Contacting the RCO grants manager by phone or e-mail will reduce delays of the review process. It is recommended that the review process be closely coordinated with other permitting agencies’ review processes. Note that preliminary and final designs must be completed and stamped by a licensed professional engineer unless otherwise indicated and approved through the application process.

Sponsors should allow about 30 days for each review. The review team may request additional design review steps for more complicated or controversial projects. The review team may meet with the project sponsors on site to discuss project alternatives and confirm preferred alternatives before starting preliminary designs. Design materials must follow specifications described in Appendix F.

Permits

Local, state, and federal permits likely are required for any activity that takes place in or around waters of the state, including habitat restoration projects. Sponsors must obtain all necessary local, state, and federal approvals and permits before construction and final payment. RCO may terminate a grant if the sponsor cannot, or does not, obtain necessary permits and land-use approvals.

The type of project impacts and the location determine which permits are required. The Governor’s Office for Regulatory Innovation and Assistance can help determine which permits are required. Its Web site provides access to an online project questionnaire and the Regulatory Handbook, which offers detailed information about environmental permits in Washington State. Information Center staff are available to help and may be reached at 1-800-917-0043 or e-mail. Contact the city or county in which the project is located for further information on required local permits. Appendix H of the Stream Habitat Restoration Guidelines provides a broad overview of typical permits required for work in and around water.

Contact permitting agencies early in the project planning process to ensure that all necessary permits are obtained before work is scheduled to begin. This is especially important for large, complex, or higher risk projects and those using novel techniques. Early agency coordination decreases the likelihood of costly design modifications, construction delays, or project rejection, and may result in a more effective and less expensive project.
All permits require a review process that takes time to complete. Some reviews are relatively fast (less than a month) while others may take several months. Sponsors should carefully consider the time needed to complete the required permit process when developing project schedules, especially given the relatively short allowable work period for many types of in-stream construction projects. Besides time, many permits require fees. Fees may be either a flat rate or a percentage of the project’s total cost.

The most commonly required permit applications for stream habitat restoration projects are the Hydraulic Project Approval and the Joint Aquatic Resources Permit Application (JARPA). The Washington Department of Fish and Wildlife accepts applications for Hydraulic Project Approvals through its online Aquatic Protection Permitting System. The JARPA is used to apply for select permits from other state, federal, and local agencies. Using the Aquatic Protection Permitting System, sponsors may submit Hydraulic Project Approval application materials, pay the application fees, and view the statuses of their submitted applications. In addition, sponsors can convert their Aquatic Protection Permitting System applications into draft JARPAs with one click, then complete the JARPAs outside of Aquatic Protection Permitting System and submit them to other permitting agencies that use the JARPA. Note that fish habitat enhancement projects that meet the criteria of Revised Code of Washington 77.55.181 may qualify for a streamlined Hydraulic Project Approval that exempts the project from local government permits and associated fees. Contact a Washington Department of Fish and Wildlife habitat biologist to verify the project qualifies.

Expedited Federal Endangered Species Act Consultations

The Endangered Species Act requires prior authorization of activities that may “take” (harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, collect, or attempt to do these things) threatened or endangered species listed under the Act. Recognizing that some projects are unlikely to “take” a significant level of at-risk species, federal agencies allow some WCRI grant sponsors to follow an expedited process that meets Endangered Species Act review requirements and reduces cost, uncertainty, time, and permitting. Grant sponsors may satisfy Endangered Species Act requirements via Fish Passage and Restoration Programmatic Consultation. The Streamlining Endangered Species Act Consultation fact sheet explains the process in detail, a brief description is listed below. For additional information on eligibility or process requirements, please contact RCO staff or Curtis McFeron, NOAA Fisheries, (360) 534-9309.

- **Fish Passage and Restoration Programmatic Consultation.** This pathway applies to all threatened and endangered species, but only applies to projects

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4 NOAA Fisheries manages marine and anadromous species, while the U.S. Fish and Wildlife Service manages land and freshwater species. Listed species that may occur near the project and some information on other species may be found online.
that require a U.S. Army Corps of Engineers’ permit (i.e. a Section 404 or Section 10 authorization). U.S. Fish and Wildlife Service and the National Oceanic and Atmospheric Administration’s National Marine Fisheries Service each have an agreement with the U.S. Army Corps of Engineers that provides a mechanism for expedited consultation for qualifying fish passage and habitat restoration projects in Washington State. The two agreements have a similar purpose, but the covered categories of restoration actions and the required conservation measures in each agreement differ. Sponsors should carefully review the category descriptions, exclusions, and required conservation measures of the NOAA Fisheries Biological Opinion and the U.S. Fish and Wildlife Service Biological Opinion during the project design phase to ensure they qualify. Qualifying sponsors must submit to the Corps detailed information describing their projects, their environments, and how their proposals meet the requirements of the Biological Opinions, along with other permit application materials. Refer to the Corps’ permitting Web site for more detailed information on how to apply.

Note that projects that receive funding from Bonneville Power Administration, U.S. Fish and Wildlife Service, or directly from NOAA Fisheries may qualify for additional expedited Endangered Species Act consultation pathways known as the Habitat Improvement Program and the Programmatic Restoration Opinion for Joint Ecosystem Conservation by the Services. Contact those other funding sources for more information.

Sponsors of projects that may affect a federally threatened or endangered species or their designated critical habitat, but do not qualify for expedited Endangered Species Act consultation, may require individual consultation. Contact the local U.S. Fish and Wildlife Service office and the NOAA Fisheries Geographical Branch Chief for more information and technical assistance to avoid take.

Limit 8 self-certification, which is a streamlined process for complying with the Endangered Species Act is not eligible for WCRRI funded projects.

**Cultural Resources**

Governor’s Executive Order 21-02, Archaeological and Cultural Resources, requires that state agencies review acquisition and construction projects for potential impacts to cultural resources, which are defined as archeological and historical sites and artifacts, and traditional tribal areas or items of religious, ceremonial, and social uses. The goal is to ensure that reasonable action is taken to avoid, minimize, or mitigate harm to those resources.

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5Projects with no federal nexus (i.e. funding, permitting, occurring on federal land, or having other significant federal involvement) do not require Endangered Species Act consultation.
The federal government, through Section 106 of the National Historic Preservation Act, requires similar compliance for projects with federal involvement, for example, projects on federal land, with federal funds, or requiring a federal permit.

**Review Process**

RCO facilitates review under the Governor’s executive order. Federal agencies facilitate review under the National Historic Preservation Act. If the federal review covers the entire RCO project area, there is no additional review needed to meet state requirements. Both processes require review, analysis, and consultation with the Washington Department of Archaeology and Historic Preservation and affected Native American tribes.

RCO evaluates all projects before funding and initiates consultation with the affected tribes and the Department of Archaeology and Historic Preservation. Applicants should not initiate consultation with either of these groups. The review may require sponsors to conduct cultural resources surveys or may add requirements to grant agreements.

Applicants should budget for cultural resources work for most projects. The costs of a cultural resources investigation are highly dependent upon the size, scope, and location of the project. RCO encourages applicants to work with qualified cultural resources professionals to estimate costs. The Association for Washington Archaeology maintains a list of qualified consultants on its Web site. Costs for compliance actions (e.g. survey, monitoring, permitting, redesign, and mitigation) are eligible for reimbursement and should be included in the grant applications.

Any required cultural resources investigations or documentation must be complete before sponsors may start any ground-disturbing activities, such as demolition, planting, or building signs. Ground disturbance or demolition started without approval are breaches of the grant agreements. Typically, cultural resources approval will be authorized as part of the notice to proceed.

For acquisition projects, cultural resources requirements must be completed before final reimbursements will be made.

**State Agency Lands**

Cultural resources compliance for projects on lands owned or managed by the Washington State Parks and Recreation Commission, Washington Department of Fish and Wildlife, or the Washington Department of Natural Resources, is the responsibility of the respective agency regardless of the sponsor. Sponsors must provide RCO with documentation of compliance with the Governor’s executive order or Section 106 before notices to proceed will be issued or acquisition will be paid in full.
See RCO Manuals 3, 4, or 5 for additional details on the RCO cultural resource review process.

### Active Projects

#### Reimbursement

RCO pays sponsors through a reimbursement process. This means that sponsors will not receive a lump sum grant in advance. Sponsors must provide documentation for all expenditures before receiving compensation. RCO requires a minimum of one billing a year and a maximum of one a month. RCO’s Manual 8: Reimbursements describes RCO reimbursement policies and procedures. Reimbursement workshops are available online on the RCO Web site. Sponsors may download cash advance request forms, and view reimbursement policies, audit information, labor and mileage rates, and other financial information at RCO’s billing section of its Web site.

Any significant change orders during project construction must be approved in advance by RCO staff.

In limited situations, advances can be made to third-party sponsors. Landowners are not eligible to receive advances.

All project costs submitted for reimbursement must directly relate to the work identified in the grant agreement and be considered reasonable, necessary, and eligible. Itemized lists of eligible expenses can be found in Section 2 of this manual, Manual 5: Restoration Projects and Manual 7: Long-Term Obligations. Additional costs that may be eligible for WCRRI-funded projects are described in this manual.

#### Cash Advance Policy

RCO recognizes that some sponsors may not have the cash flow needed to implement parts of approved projects. Short-term cash advances are available. Follow the escrow process in PRISM Online for land purchases (fee simple or easement).

To comply with federal rules and state law, RCO established an advance policy for private entities and one for public/quasi-public entities. A public/quasi-public entity is defined as an entity established or authorized by law that would not constitute a private service provider under Revised Code of Washington 43.88.160(5)(e).

Please refer to Manual 8: Reimbursements for detailed information on cash advances.
Progress Reports

Project sponsors are required to submit at least two progress reports a year in PRISM. The progress reporting module in PRISM provides a record of progress that grants managers use to assess performance and allows sponsors to submit permit information, attach relevant documents, and update milestone dates as the projects adapt to conditions. Project sponsors should communicate any major project scope or timeline changes or other project-related issues to their RCO grants managers through the progress report module.

Amendments and Cost Increases

If during an active grant agreement, the project scope, timeline, or cost of completing a project requires a change, a project sponsor may request an amendment to the agreement. The sponsor must submit the amendment requests in writing or via the PRISM progress reporting module to the RCO grants managers. Cost and scope change amendments must include Amendment Request Forms. RCO grants managers reviews amendment requests for clarity and eligibility, and facilitate the review and approval processes per WCRRI Amendment Request Authority Matrix in Appendix D. Once requested amendments are approved or disapproved, the project sponsors will receive written notices from RCO grants managers.

Time Extension Amendment

Time extension requests do not require the Amendment Request Form but do require a written request and an updated milestone worksheet with requested new dates. Notify the RCO grants manager of any projected delays associated with the agreement end date (contract termination date) as soon as possible. Delays that affect the agreement end date, require a time extension amendment to the project agreement. Extension requests must be in writing and provided to RCO no less than 60 days before the project completion date. Note that funded design projects are not eligible for time extensions and must be complete within 18 months of the funding date.

RCO cannot guarantee that WCRRI funds will be re-appropriated by the Washington state Legislature past the biennium when funds are awarded. Sponsors with projects that go past June 30 of odd-numbered years or who request time extensions past this date do so at their own risks. If WCRRI funding does not get re-appropriated, all agreements will be terminated, and work that goes past the end of the funding biennium cannot be reimbursed.
Cost Change Amendment

Reasonable requests for additional money to cover expenses exceeding original budgeted costs will be considered. A dedicated source of funding for cost increase amendments does not exist; however, funds returned from completed projects will be made available on a first come, first serve basis. Sponsors should consider all potential funding sources (internal, other grant programs, partner agencies, landowners) as part of a strategy to compensate for unforeseen costs. If funds are not available through WCRRI and/or costs are considered unreasonably high, RCO and the WCRRI Steering Committee may require a project scope reduction if possible or termination of a grant agreement. Projects completed under budget, with remaining WCRRI funds at the end of a grant agreement do not require a cost change amendment. All cost change amendment requests must include a revised Cost Estimate Spreadsheet or similar budget document. Review the WCRRI Amendment Request Authority Matrix (Appendix E) for the specific review and approval process with a cost change amendment request.

Sponsors who overspend their project budgets do so at their own risks and are not guaranteed a cost increase to cover budget exceedances. All cost increase requests should be submitted before over-spending project budgets.

Scope Change Amendment

If a sponsor requests a change in scope for a project, RCO and the WCRRI Steering Committee must approve it first. Consult the RCO grants manager to determine whether the change constitutes a scope change. Scope change amendment requests may require other supporting documents such as a revised Cost Estimate Spreadsheet or revised project narrative and metrics.

Work that is outside project scope is ineligible, even if the activity is programmatically eligible, and will not be reimbursed. Sponsors should request a scope change before implementing work outside the project scope.

Carbon Finance Policy

Carbon and Ecosystem Service Credits

Land acquired or encumbered with an RCO grant may be enrolled in carbon credit and other payments for ecosystem service programs. These programs issue credits or direct payments to landowners for activities such as protecting land, planting trees, or improving management practices that reduce, sequester, or prevent future carbon and other greenhouse gas emissions. Read more information in RCO Manual 3: Acquisition Projects.
Closing A Project

Site Inspections

The project sponsor can expect the following site inspections during the life of the project:

- **Interim:** This inspection normally is coordinated with the sponsor and the RCO grants manager. Other members of the Technical Review Panel also may attend. This interim site inspection is made during project implementation to help resolve any apparent or anticipated problems and to monitor project progress.

- **Final:** This site review takes place after the sponsor requests a final payment and/or final inspection. The RCO grants manager is required to attend to close out the grant and issue final payment. Other members of the Technical Review Panel also may attend. This request must be made only after the project is complete, architects and/or engineers have made their inspections, and defects have been corrected. The final inspection is intended to ensure that the project was completed as described in the grant agreement. For private lands, the landowner agreement shall allow access to perform project site inspections. On completion of the final inspection and submission of a final report in PRISM, the final payment, including the release of retainage, will be made.

- **Compliance:** RCO has a policy to inspect completed projects to compare actual conditions to the terms and conditions of the grant agreement. An inspection may be done at any time during the life of the project or landowner agreement. Inspection will result in a determination of compliance, non-compliance, or conversion. See Manual 7: Long-Term Obligations, for more information.

Final Report

A final report is due at project completion. The final report is submitted in PRISM. The report is required before a final payment is released for the project and indicates project completion to the grants manager. Typically, the final report and final reimbursement request are submitted at the same time.

Site Maintenance and Long-Term Obligations

A WCRRI grant comes with long-term obligations to maintain and protect the project area after the project is complete. “Project area” means the area consistent with the geographic limits of the scope of work of the project. The long-term obligations for WCRRI projects are described in Section 25 of the grant agreement, and Manual 7: Long-Term Obligations.
Section 4: Project Requirements

RCO completes post-agreement inspections of completed restoration projects to ensure compliance with the scope of work, and the terms of the Landowner Agreement or Stewardship Plan are being met (see below).

Sponsors of **acquisition projects** must provide an **Acquisition Stewardship Plan** in addition to those requirements described in **Manual 3: Acquisition Projects**. Provide the stewardship plan with the final documentation at the close of the project. A plan is necessary to ensure meeting the project objectives by maintaining and monitoring the site in perpetuity.

Sponsors of **restoration projects on sponsor-owned property** must provide a stewardship plan with the final documentation at the close of the project. A plan ensures meeting the project objectives by maintaining and monitoring the site for at least 10 years beginning from the date of the last bill payment for restoration projects. Use the **Restoration Stewardship Plan** outline found on the RCO Web site.

Sponsors of **restoration projects on property owned by someone else** must adhere to the following:

- **Landowner Agreement.** A signed **Landowner Agreement Form** that allows the sponsor and RCO staff access to the site for inspection and monitoring, which remains in effect for at least 10 years from the date of final payment to the project sponsor. A signed landowner agreement **must be provided to RCO before construction or before a sponsor is reimbursed for any construction expenses.**

- **Washington Department of Natural Resource’s authorization to use state owned aquatic lands,** if relevant. Please see Section 3: State-Owned Aquatic Lands, for more information. The Land Use License takes the place of the required landowner agreement for the project.

- **Fish Passage Projects.** In addition to the long-term obligations outlined in the grant agreement, the landowner is required to maintain unimpeded fish passage at the project site in perpetuity as specified by **Revised Code of Washington 77.57.030.** For questions about this law contact the Washington Department of Fish and Wildlife.

RCO recognizes that changes occur over time and that some acquisitions may become obsolete, or the land needed for something else. The law discourages casual discards of land and facilities by ensuring that grant sponsors replace the lost value when changes or conversions of use take place.

In general, the project area funded with an RCO grant must remain dedicated to the use as originally funded, such as for habitat restoration purposes, for as long as defined in the grant agreement. For acquisition projects, that period is perpetual. For restoration
projects, the ongoing obligation is at least 10 years from the date of project closure or more as specified in the landowner agreement (or stewardship plan for sponsor-owned project areas).

A conversion occurs when the project area acquired, developed, or restored with RCO grants is used for purposes other than what it was funded for originally. See Manual 7: Long-Term Obligations for a discussion of conversions and the process required for replacement of the public investment. Non-compliance with the long-term obligations for an RCO grant may jeopardize an organization’s ability to obtain future RCO grants.

After a project is complete (that is, after RCO’s final reimbursement and acceptance of the project), RCO documents that were signed by the sponsor continue to govern the project area described in the boundary map for which funds have been granted.

Changes may be made only with the prior approval of the WCRRI Steering Committee. If a compliance issue arises, RCO staff works with sponsors to resolve the issue. Unresolved, identified issues could result in restrictions on applying for or receiving future grants.

**Prohibited Uses**

Some activities on properties purchased with WCRRI funds may not be allowed throughout the life of a project even after funding has been reimbursed or after a project is complete. Check with the RCO grants manager if any of the activities identified below, are being considered now or in the future.

- Construction of new buildings, structures, or indoor facilities.
- Operation of fish hatcheries or hydropower facilities.
- Installation of permanent net pens, artificial rearing facilities, remote site incubation systems, and supplementation.
- Use of existing structures that are not essential to the functions or operation and maintenance of the funded site. Non-essential structures must be removed or demolished.

Other activities not listed above must be reviewed under RCO’s Allowable Uses Framework in Manual 7: Long-Term Obligations.
Specific Allowed Uses

Fish Acclimation

Acclimation ponds for rearing juvenile fish species are not eligible for WCRRI funds, but may be allowed on WCRRI-funded properties under the following conditions:

- Fish acclimation occurs in a natural pond, wetland, or stream channel (off-channel or side channel).
- No earth moving, water diversion, or substantial alteration to the existing habitat conditions is conducted. Efforts are taken to use the least impactful methods to achieve project goals; any impacts are mitigated post-project.
- Proposed use is consistent with the terms of the existing WCRRI conservation easement between the sponsor and landowner and approved by the conservation easement holder, where applicable.
- The salmon recovery region or lead entity reviewed and approved the supplementation proposal for consistency with the salmon recovery plan.
- Listed species are not harmed or negatively affected.
- Use of the project site will not impair stream, riparian, or wetland habitat.
- The acclimation period is short-term (typically less than 90 days) and all acclimation-related infrastructure is removed after juveniles are released each season.
- RCO grants manager has approved specific acclimation activities.

Requests for acclimation ponds that do not meet the criteria above must be reviewed under RCO’s Allowable Uses Framework.

Land Conveyances to the Federal Government

At times, land purchased with a WCRRI grant may transfer to the federal government for free or in exchange for similar property. In these instances, RCO will use the following process:6

6Revised Code of Washington 77.85.130(7) states that: (7) Property acquired or improved by a project sponsor may be conveyed to a federal agency if: (a) The agency agrees to comply with all terms of the grant or loan to which the project sponsor was obligated; or (b) the WCRRI Steering Committee approves: (i) Changes in the terms of the grant or loan, and the revision or removal of binding deed of right instruments;
1. Sponsor notifies RCO of the intent to convey land to a federal agency.

2. The RCO grants manager assists in the development of an agreement mechanism to ensure parties consider the appropriate level and scope of habitat protections.

3. Sponsor submits a draft agreement to RCO.

4. WCRRI Technical Review Panel conducts a technical review and assessment of the proposed substitute habitat protections.

5. RCO grants manager and policy staff review the agreement to determine if all criteria were addressed and if the agreement is ready to present to the WCRRI Steering Committee.

6. Staff presents the conveyance request to the WCRRI Steering Committee at a public meeting with opportunity for public comment.

7. The WCRRI Steering Committee may take the following actions:
   - Approve the conveyance and associated habitat protections as presented.
   - Provide additional guidance and request a revised proposal.
   - Deny the proposed conveyance.

If the terms of the original grant were revised, the following criteria must be met to meet the statutory requirement of Revised Code of Washington 77.85.130(7)(ii):

- The WCRRI-funded property must be conveyed in its entirety.
- The sponsor cannot receive compensation in any form for the conveyance unless receiving a property of equal or greater conservation value, including species and habitat, (than the conveyed property) that will remain protected in perpetuity.
- The conveyance agreement must include the original grant conditions except where those conditions are contrary to federal law or policy. In those instances, as directed by the statute, the draft agreement must identify substitute habitat protections.
- Substitute protections must fully meet or exceed goals and objectives of the original project and result in the outcomes intended in the original grant.

and (ii) a memorandum of understanding or similar document ensuring that the facility or property will retain, to the extent feasible, adequate habitat protections; and (c) the appropriate legislative authority of the county or city with jurisdiction over the project area approves the transfer and provides notification to the WCRRI Steering Committee.
Section 4: Project Requirements

substitute protections cannot be ensured to fully meet or exceed the goals and objectives of the original grant, other benefits to the targeted species, habitat, or ecosystem functions must be provided that outweigh the potential loss of protection.

- Substitute protections or other intended benefits of the conveyance must support habitat restoration or resilience and produce sustainable and measurable benefits for the target species and their habitat.

- Substitute habitat protections must do the following:
  - Apply to the full parcel of land funded by WCRRI.
  - Be long term or in perpetuity, if possible, under federal law and policy.
  - Support those habitat and other ecosystem functions necessary to survival and health of the target species identified in the original grant.
  - Be legally enforceable.

- There must be a low likelihood that future uses on the land will not be conservation-oriented or contrary to the original grant conditions. Measures of future uses include but are not limited to commercial value and resource extraction value.

- The proposed management plan should provide equal or greater stewardship of conservation values than that intended in the original grant.

- Agreement must clearly identify remedies in law, statute, and contract terms.

- Agreement mechanism must be legally enforceable with known remedies.

**Other Requirements and Things to Know**

**Public Disclosure Rules**

RCO records and files are public records that are subject to the Public Records Act. More information about RCO's disclosure practices is available online.

Any project sponsor receiving funding from the WCRRI grant program that is not subject to disclosure under chapter 42.56 RCW must, as a mandatory contractual prerequisite to receiving the funding, agree to disclose any information in regard to the
Civil Liability for Landowners

In 2013, state law exempted landowners from civil liability for property damages resulting from habitat projects on their lands. The law amends Revised Code of Washington 77.85.050, which is the salmon recovery law. The law provides specific information on what steps project sponsors and landowners must take to be covered by the exemption. See RCO’s salmon liability fact sheet for more information.

Veterans Conservation Corps

The Department of Veterans Affairs created the Veterans Conservation Corps and maintains a list of veterans with an interest in working on environmental restoration projects. The WCRRI Steering Committee encourages sponsors to incorporate veterans into projects when possible. For additional information about this program, contact the Veterans Conservation Corps coordinator, (360) 725-2224.

Invasive Species

The Washington Invasive Species Council developed protocols for preventing the spread of invasive species while working in the field. The WCRRI Steering Committee encourages grant sponsors to consider how their projects may spread invasive species and work to reduce that possibility. Invasive species may be spread unintentionally during restoration activities. Here is how it could happen:

- Driving a car or truck to a field site and moving soil embedded with seeds or fragments of invasive plants in the vehicle’s tires to another site. New infestations can begin miles away as the seeds and fragments drop off the tires and the undercarriage of the vehicle.

- Sampling streams and moving water or sediment infested with invasive plants, animals, or pathogens via boots, nets, sampling equipment, or boats from one stream to another.

- Moving weed-infested hay, gravel, or dirt to a new site, carrying the weed seeds along with it, during restoration and construction activities. Before long, the seeds germinate, and infest the new site.

The key to minimizing the introduction and spread of invasive species at a restoration site is twofold: use materials that are known to be free of invasive plants or animals in the project and clean equipment both before and after the job. Equipment to clean
should include, but not be limited to, footwear, gloves, fishing equipment, sampling equipment, boats and their trailers, and vehicles and tires.
## Appendix A: Evaluation Criteria

<table>
<thead>
<tr>
<th>Low Score</th>
<th>High Score</th>
<th>Higher Score Reflects…</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Restoration Benefit</strong>–30 Points</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Species</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Physical Processes and Features</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Quantity of Benefit</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td><strong>Community Benefit</strong>–30 Points</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jobs</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Local Economic Impact</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>Direct Community Impacts and Improvements</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Threat Reduction</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td><strong>Likelihood to Succeed</strong>–20 Points</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Logical Approach and Schedule</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Appropriate Scope with Clear Goals and Objectives</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>Sponsor/Participants Experience</td>
<td>0</td>
<td>5</td>
</tr>
</tbody>
</table>
## Appendix A: Evaluation Criteria

<table>
<thead>
<tr>
<th>LOW SCORE</th>
<th>HIGH SCORE</th>
<th>Higher Score Reflects…</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>according to budget. All relevant collaborators have been considered/included.</td>
</tr>
</tbody>
</table>

### Best Use Public Funds–15 Points

<table>
<thead>
<tr>
<th>Category</th>
<th>LOW SCORE</th>
<th>HIGH SCORE</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget</td>
<td>0</td>
<td>5</td>
<td>A budget that is realistic and contains sufficient detail.</td>
</tr>
<tr>
<td>Matching Funds</td>
<td>0</td>
<td>5</td>
<td>Matching resources may include cash, bond funds, grants (unless prohibited by the funding authority), in-kind labor, equipment, and materials. Not required by WCRRI but demonstrates an ability to leverage project support.</td>
</tr>
<tr>
<td>Cost-Effectiveness</td>
<td>0</td>
<td>5</td>
<td>Highly effective or productive relative to cost. Continuing projects demonstrate cost effectiveness of past WCRRI grants.</td>
</tr>
</tbody>
</table>

### Local Support–5 points

<table>
<thead>
<tr>
<th>Category</th>
<th>LOW SCORE</th>
<th>HIGH SCORE</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letters of Support</td>
<td>0</td>
<td>5</td>
<td>Letter of support signed and submitted. At least one document must be provided for projects to move forward regardless of rank. One point awarded per organization category (Appendix E)</td>
</tr>
</tbody>
</table>

| Total               | 0         | 100        |                                                                                                                                            |
Appendix B: Application Checklists with Forms

The following 2 tables list the required materials to complete a Draft Project Application and a Final Project Application, respectively.

**Draft Project Application Checklist (pre-site visit)**

In PRISM online, complete the “Project Details,” “Questions,” “Metrics,” and “Costs” screens for your application.

<table>
<thead>
<tr>
<th>✓ PRISM Online Attachment Checklist Items</th>
<th>Template/Form Link</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cost Estimate Spreadsheet.</strong> WCRRI recommends using its template or similar format. Attach in PRISM and clearly label as “Cost Estimate.”</td>
<td>Optional Template</td>
</tr>
<tr>
<td>Complete “Project Details,” “Questions,” “Metrics,” and “Costs” pages in the application</td>
<td>PRISM Online</td>
</tr>
</tbody>
</table>
| **Maps:**  
  • General vicinity map for all projects  
  • Site plan for restoration projects  
  • Parcel map for acquisition projects | Applicant Creates |
| **Design Documents for Restoration Projects.** Preliminary designs are required at final application for applicants requesting $250,000 or more in WCRRI funds. See Appendix F for design document requirements. | Applicant Creates |
| **Project photographs.**  
  • At least two photographs of site conditions before project implementation are required in .jpg file format.  
  • Additional graphics and photographs to describe the project may be attached in a PowerPoint or PDF document (optional). | Applicant Creates |
<p>| <strong>Barrier Evaluation Forms</strong> and <strong>Correction Analysis Form</strong> (fish passage projects only) | Barrier Evaluation Forms |</p>
<table>
<thead>
<tr>
<th>PRISM Online Attachment Checklist Items</th>
<th>Template/Form Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Barrier Evaluation Form is required for fish passage projects (planning or restoration).</td>
<td></td>
</tr>
<tr>
<td>• Correction Analysis Form required for barrier correction construction projects.</td>
<td></td>
</tr>
<tr>
<td>• Completed Barrier Evaluation Forms may be available on the Department of Fish and Wildlife's Fish Passage Map Web site.</td>
<td></td>
</tr>
<tr>
<td>Other materials (optional): Waiver of Retroactivity, graphs, supporting documents, letters of support, etc.</td>
<td>Applicant Creates</td>
</tr>
</tbody>
</table>

### Final Project Application Checklist

In PRISM online, complete all application pages, select “Check page for errors” on each page, or “Select application for errors” on the “Submit Application” page to make sure all fields are complete.

<table>
<thead>
<tr>
<th>PRISM Online Attachment Checklist Items</th>
<th>Template/Form Link</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cost Estimate Spreadsheet.</strong> WCRRI recommends using this RCO template or similar format. Attach in PRISM and clearly label “Cost Estimate.” Include agency indirect in your estimate.</td>
<td>Optional Template</td>
</tr>
<tr>
<td><strong>Landowner Acknowledgement Form.</strong> (required for project on land not owned by the applicant or on state-owned aquatic lands)</td>
<td>Form</td>
</tr>
<tr>
<td><strong>Project Partnership Contribution Form.</strong> Suggested for organizations other than the applicant (third party) that may be providing match</td>
<td>Form</td>
</tr>
<tr>
<td><strong>Maps:</strong></td>
<td>Applicant Creates</td>
</tr>
<tr>
<td>• General vicinity map for all projects</td>
<td></td>
</tr>
<tr>
<td>• Site plan for restoration projects</td>
<td></td>
</tr>
<tr>
<td>• Parcel map for acquisition projects</td>
<td></td>
</tr>
<tr>
<td><strong>Design documents for restoration projects.</strong> Preliminary designs are required at final application for applicants requesting $250,000 or more in WCRRI funds. See Appendix F for design document requirements.</td>
<td>Applicant Creates</td>
</tr>
<tr>
<td><strong>Response to Review Panel Application Comments.</strong> Applicants must respond to review panel comments and attach in PRISM. Update application as needed.</td>
<td>Update Application, Respond on Review Comment Form</td>
</tr>
<tr>
<td><strong>Project Photographs.</strong> At least two photographs of site conditions before project implementation are required in .jpg file format.</td>
<td>Applicant Creates</td>
</tr>
<tr>
<td><strong>Barrier Evaluation Forms and Correction Analysis Form (fish passage projects only)</strong></td>
<td></td>
</tr>
<tr>
<td>• Barrier Evaluation Form is required for fish passage projects (planning or restoration).</td>
<td>Barrier Evaluation Forms</td>
</tr>
<tr>
<td>• Correction Analysis Form required for barrier correction construction projects.</td>
<td>Correction Analysis Form</td>
</tr>
<tr>
<td>PRISM Online Attachment Checklist Items</td>
<td>Template/Form Link</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>--------------------</td>
</tr>
</tbody>
</table>
| • Completed Barrier Evaluation Forms may be available on the Department of Fish and Wildlife’s [Fish Passage Map](#) Web site. | |}
| Letters of Support (See Appendix E) | Applicant Creates |
| Other Materials (optional): Waiver of Retroactivity, graphs, supporting documents, additional letters of support, etc. | Applicant Creates |
| **RCO Applicant Resolution and Authorization** (not required for tribal sponsors) | Form |
| **RCO Fiscal Data Collection Sheet** | Form |
Appendix C: Funded Project Forms

Landownership Certification Form

This form ensures that the sponsor reviewed property information and that no encumbrances exist that would adversely affect the ability to restore the property. This form is required for all restoration projects and for all preliminary or final design projects after identifying the project site. The sponsor must submit the form before RCO issues a grant agreement. Visit the RCO Web site to download a Landownership Certification Form.

Landowner Agreements

A landowner agreement is required for a restoration project on land that the sponsor does not own. Provide RCO with a signed landowner agreement before construction or before reimbursement for any construction expenses. The agreement is a document between the sponsor and the landowner that, at a minimum, allows access to the site by the sponsor and RCO staff for project implementation, inspection, maintenance, and monitoring; clearly states that the landowner will not intentionally compromise the integrity of the project; and clearly describes and assigns all project monitoring and maintenance responsibilities. The landowner agreement remains in effect for at least 10 years from the date of project completion. The date of project completion is the date of final payment to the sponsor, as defined in Section E of the RCO grant agreement. It is the sponsor’s responsibility to inform the landowner of this date. Visit the RCO Web site to download a Landowner Agreement Form.

Acquisition Stewardship Plan

If the sponsor acquired fee-simple land, the sponsor must provide a stewardship plan at the close of the project. A plan is necessary to ensure the landowner will maintain the
property in perpetuity. To download a template with the recommended plan components, visit the RCO Web site.

**Restoration Stewardship Plan**

If the sponsor completed a restoration project, the sponsor must provide a stewardship plan at the close of the project. A plan is necessary to ensure the landowner will maintain the project area at least 10 years after completion. Visit the RCO Web site to download template with the recommended plan components.

**Amendment Request Form**

A sponsor wishing to request a scope change, time extension, or cost change amendment to the agreement, or wishing to appeal any decision to the WCRRI Steering Committee may complete an Amendment Request Form developed for SRFB projects. Submit to the grants manager for review and consultation according to the approval authority matrix in Appendix D of this manual.
### Appendix D: WCRRI Amendment Request Authority Matrix

<table>
<thead>
<tr>
<th>Amendment Request</th>
<th>Sponsor</th>
<th>RCO Director</th>
<th>WCRRI Technical Review Panel</th>
<th>WCRRI Steering Committee</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Project Types</td>
<td>Consult</td>
<td>May approve or recommend</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td>The site had different soil types than expected and it cost more than anticipated to do the geotechnical analysis, design, and install the culvert. Sponsor now requests an increase in WCRRI funds.</td>
</tr>
<tr>
<td>Increase project funds due to project adjustments/overrun&lt;sup&gt;8&lt;/sup&gt;</td>
<td>Consult</td>
<td>May approve or recommend</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td>Sponsor planted 3,000 trees and shrubs on 3 acres of riparian habitat as outlined in the contract. Funds remain and the sponsor wants to plant an additional 100 trees and shrubs on adjacent acres. Sponsor plans to remove two barriers culverts. After designing the project, sponsor only has funds to install one culvert. Sponsor requests a scope reduction, but still needs to use all the funds.</td>
</tr>
<tr>
<td>Increase/decrease project scope (no funding change)</td>
<td>Consult</td>
<td>May approve or recommend</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td></td>
</tr>
</tbody>
</table>

<sup>8</sup>Cost increases may be granted only if funding is available.
### Amendment Request Authority Matrix

<table>
<thead>
<tr>
<th>Amendment Request</th>
<th>Sponsor</th>
<th>RCO Director</th>
<th>WCRRI Technical Review Panel</th>
<th>WCRRI Steering Committee</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>All Project Types</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change project type</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td>Sponsor proposed to purchase floodplain or riparian habitat and reconnect a side channel on a portion of the site. Sponsor now proposes to purchase the land only.</td>
</tr>
<tr>
<td>Transfer sponsorship</td>
<td>Consult</td>
<td>May approve</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Acquisition Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change site to a contiguous site</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td>Sponsor proposed to purchase six parcels. One of the parcels is not available, and sponsor asks to buy a different contiguous site.</td>
</tr>
<tr>
<td>Change site to a non-contiguous site</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review amendment</td>
<td>May approve</td>
<td>Sponsor proposed to purchase six parcels. One of the parcels is not available, and the sponsor asks to buy a different site on a different part of the river.</td>
</tr>
<tr>
<td>Pay more than fair market value (no increase in funding)</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review amendment</td>
<td>May approve up to 10 percent</td>
<td>Sponsor and landowner negotiate a purchase price above the fair market value.</td>
</tr>
<tr>
<td><strong>Restoration Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Significant change in the project location</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review the amendment</td>
<td>May approve</td>
<td>Sponsor is unable to replace a culvert at the proposed location and asks to replace a culvert on another river or Water Resource Inventory Area, or to benefit different fish.</td>
</tr>
<tr>
<td><strong>Assessment and Inventory Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Significant change in the location of the study</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review the amendment</td>
<td>May approve</td>
<td>Sponsor proposed to inventory barriers on a specific river and later asks to inventory another river or Water Resource Inventory Area, or to benefit different fish.</td>
</tr>
<tr>
<td>Change type of study</td>
<td>Consult</td>
<td>May approve</td>
<td>Available to review the amendment</td>
<td>May approve</td>
<td>Sponsor proposed to do an assessment on forage fish but after more research determines an inventory of barriers is more important.</td>
</tr>
</tbody>
</table>
Appendix E: Letters of Support

To be considered for funding through WCRRI, project sponsors must show local support for their proposed projects. This may be accomplished by submitting at least one letter of support as a PRISM attachment with their application materials. These letters should specifically mention how the project will benefit the local community (local defined as within the county or Water Resource Inventory Area of project location). The letters must be signed by a qualifying local organization, listed below.

- Citizen or citizen group
- Conservation organization
- Landowner
- Managing entity of a tribal government
- Local elected body (city, county)

A project proposal must include at least one letter of support from outside the sponsors organization to qualify for the WCRRI list of projects, regardless of rank.
Appendix F: Design and Restoration Project Deliverables

This appendix covers a wide range of design and restoration project elements and reflects best practices for habitat restoration and resiliency projects. The guidance intends to provide clear requirements for documentation of the design and construction process and help the sponsor demonstrate project quality and success. This appendix will serve as a guide to develop a project application and specific deliverables in the grant agreement.

How Appendix F is Organized

This appendix is split into four sections. The goal is to provide a better understanding of the different design stages and deliverable expectations that will go into the grant agreement. For example, F-4 covers a comprehensive restoration project from conceptual design through construction, including as-built documentation. All restoration projects that include design elements shall follow four standard project development stages, described below, completed in a single design grant or in multiple design phases.

- Appendix F-1: Conceptual Design Deliverables
- Appendix F-2: Preliminary Design Deliverables
- Appendix F-3: Final Design Deliverables
- Appendix F-4: Construction Deliverables

Project Deliverables

Each section of Appendix F (F1-F4) includes the deliverables matrix (see below). The grant agreement will include specific project deliverables based on project type,
application, local evaluation, Technical Review Panel recommendations, and the sponsor’s experience.

<table>
<thead>
<tr>
<th>Project Deliverables</th>
<th>Conceptual Design</th>
<th>Preliminary Design</th>
<th>Final Design</th>
<th>Construction Project¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conceptual Design Report and Drawings</td>
<td>✓</td>
<td>Application</td>
<td>Application</td>
<td>Application</td>
</tr>
<tr>
<td>Preliminary Design Report and Drawings</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Landownership Certification Form</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Permit Applications</td>
<td>Optional</td>
<td>Optional</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Design Review Comments</td>
<td>Optional</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Final Design Report and Drawings</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Technical Specifications</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Construction Quantities and Costs</td>
<td>3</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Bidding Documents</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Permits</td>
<td>Optional</td>
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¹Design-build construction projects have an abbreviated set of design requirements before construction. See Appendix F-4.
²Cultural resources compliance may be required if sponsor is conducting ground-disturbing activities during the design phases.
³Rough cost estimate of the preferred alternative.

**Restoration Project Design**

Habitat restoration projects require a designer or team with a balance of knowledge and experience within fisheries biology, civil engineering, and other technical fields. The person or team completing the preliminary project design should include at least one licensed professional engineer with experience in salmon habitat restoration. Projects with straightforward project design and minimal sponsor liability concerns may not require a licensed professional engineer and people with applicable experience and technical knowledge may design the project.

If a licensed engineer will not design the project, indicate this in the project proposal and describe the qualifications and experience of the team that will design the project. The Technical Review Panel will use this information during its review.
Restoration Design Report Examples

To help with understanding the design report deliverable, RCO staff have published some sample design reports on the RCO Web site. They include simple to complex examples to help illustrate the needed level of detail and the layout of a design report.

Stream Habitat Restoration Guidelines

The Stream Habitat Restoration Guidelines are part of a series of guidance documents produced with Salmon Recovery Funding Board funding through the Aquatic Habitat Guidelines program. The aquatic habitat guidelines do not replace existing regulatory requirements, though they are designed in part as technical guidance supporting regulatory streamlining and grant application review for stream restoration proposals.

In developing the application, RCO highly recommends the sponsor consult Chapters 4 and 5 of the Stream Habitat Restoration Guidelines. Chapter 4 provides guidance for developing goals and objectives for the restoration projects as well as restoration strategies. Chapter 5 provides guidance on designing and implementing restoration techniques.
Appendix F-1: Conceptual Design Deliverables

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<thead>
<tr>
<th>Project Deliverables</th>
<th>Conceptual Design</th>
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</table>

¹Design-build construction projects have an abbreviated set of design requirements before construction. See Appendix F-4.
²Cultural resources compliance may be required if sponsor is conducting ground-disturbing activities during the design phases.
³Rough cost estimate of the preferred alternative.

This appendix identifies the deliverables required when a planning project includes a conceptual design in the scope. Such planning projects may include watershed or reach assessments and feasibility studies. Projects resulting in a conceptual design require a minimum 15 percent match. This guidance intends to ensure that applicants, evaluators, and RCO grants managers have the same expectations for grant agreement deliverables.
Conceptual Design

The conceptual design is the first stage of developing site-specific restoration actions. This process should use available watershed- and reach-level assessment information to address one or more priorities within a watershed strategy. The conceptual design should be guided by specific desired outcomes (objectives). Adequate technical information must be collected from the site to evaluate existing conditions and develop concept-level restoration techniques (alternatives). The preferred alternative concept must be documented with detailed drawings and a written report sufficient to explain and support proposed actions as well as guide the next stages of design.

Submit the following deliverables to the RCO grants manager.

Conceptual Design Deliverables

Submit the following deliverables to the RCO grants manager along with any assessment and feasibility deliverables funded in the scope of work.

- Description of the project site and the problems within the context of salmon recovery.
- Identification of specific goals and objectives to address the problems.
- Identification and conceptual design of alternatives to achieve the project objectives. Each conceptual design alternative must include a description of the design and a plan view drawing of existing site conditions and the proposed project on accurately scaled site plans. The plan view drawing must include an area/location map, property boundaries (either surveyed or approximated based on assessor’s data), landownership, roads or other infrastructure as appropriate, scale, north arrow, water bodies and direction of flow, bank-full width or mean high water line for marine waters, and approximate dimensions of proposed elements.
- Evaluation and discussion of stakeholder comments and the pros and cons of each alternative.
- Selection of the preferred alternative(s).
- Rough construction cost estimate of the preferred alternative(s).
Appendix F-2: Preliminary Design Deliverables

## Conceptual Design

The conceptual design phase of the project describes the initial phase of identifying a restoration project. For preliminary design projects, the application requirements in the project proposal comprise an adequate conceptual design.

### Project Deliverables

<table>
<thead>
<tr>
<th>Project Deliverables</th>
<th>Conceptual Design</th>
<th>Preliminary Design</th>
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</table>

1. Design-build construction projects have an abbreviated set of design requirements before construction. See Appendix F-4.
2. Cultural resources compliance may be required if sponsor is conducting ground-disturbing activities during the design phases.
3. Rough cost estimate of the preferred alternative.
Preliminary Design

RCO uses the term “preliminary project design” to define the final deliverable in a preliminary design project, or an intermediate deliverable in a final design or restoration project. Preliminary designs intend to advance project concepts to a detailed understanding and quantification of all the major project elements.

Preliminary designs traditionally may be labeled “30 percent design,” “50 percent design,” etc., but these numeric labels tend to confuse the process and do not always reflect the design detail of the project. For example, preliminary designs for some straightforward projects, such as culvert replacement on a private driveway, may be considered 80 percent of the final design requirements. Conversely, the preliminary designs for some large-scale, complex projects, such as levee setbacks with tide gate installations, may be considered only 20 percent of the final design requirements. Therefore, sponsors and consulting engineers should use the RCO definitions for consistency.

A licensed professional engineer must supervise the preparation of the preliminary design unless the project design is straightforward and sponsor liability concerns are minimal. In that case, a licensed professional engineer may not be required and individuals with applicable experience and technical knowledge may complete the design.

While the detailed scope of each project’s preliminary design process is unique, in general, the process for developing a preliminary design includes preparing surveyed site plans; conducting field investigations of hydrologic, geotechnical, and other site conditions; conducting data analysis; preparing drawings and designs; preparing the design report; and preparing engineering cost estimates. For additional detailed guidance on designing and implementing restoration projects, please refer to Chapters 4 and 5 of the Stream Habitat Restoration Guidelines.

Preliminary Design Deliverables

Preliminary designs must adequately describe all proposed project elements in sufficient detail for permit review and authorization. While the design team may tailor the design process to suit the unique circumstances of each project, the following project deliverables are required for preliminary design projects:

- Preliminary design report, drawings, and engineering cost estimate
- Landownership Certification Form, if not already provided
- Design review comments (optional)
Permit applications (optional)

Sponsors must submit these deliverables to the RCO grants manager at the close of the preliminary design project or before moving on to the next phase of the project. The following section provides more details on the preliminary design deliverables.

A. Preliminary Design Report, Drawings, and Construction Cost Estimate

A design report is a record of the technical decisions that inform the development of the selected project design at the preliminary and/or the final design stage. By clearly documenting and explaining the design process, the report allows reviewers and other stakeholders to understand the proposed project and the relevant factors that contributed to its design. The preliminary design report must describe all elements of the project and provide sufficient details to support project permitting.

While the design team may structure the design report to suit the circumstances of its project, in general, the design reports should include the following elements:

- **Introduction**: An explanation of the purpose of the project and its specific habitat restoration goals and objectives.

- **Existing Conditions**: A characterization and analysis of the existing conditions relevant to project design. These conditions include: Description of the problem; summary of site, reach, and watershed conditions; biological and water quality factors as they relate to the project conditions; site history and constraints leading to the observed problems and which may present challenges to restoration; and description of identified causes of the problem. This section typically includes historical data; surrounding land uses; landowner and community expectations; survey information (topographic, geomorphic, and vegetative); sediment sampling; water velocities, depths, and flow rates; groundwater or hyporheic flow evaluation ranges; tidal elevation and ranges; and maintenance requirements. The level and detail of survey and data collection needed depends upon project goals, objectives, and the context of the project.

- **Preliminary Design Alternatives**: An identification, description, and evaluation of design alternatives considered to achieve the project goals and objectives. Describe each element of the design alternatives. Include a comparison of each of the alternatives discussing project objectives, other evaluation criteria (such as fish benefit, maintenance, sustainability, social acceptance, etc.) and cost, to the extent that cost data is available at this stage of the design process.
• **Preferred Alternative:** A description of a preferred alternative and the rationale for choosing it, citing the relevant factors described above. Include a brief explanation of why other alternatives were not selected.

• **Design Considerations and Preliminary Analyses:** A listing of specific design criteria that define the intent and expectations for each project element. Design criteria are specific, measurable attributes of project features that clarify the purpose of each project element and articulate how each element will contribute to the project’s overall goals and objectives. Include justification and documentation of design methods applied, including assumptions that facilitated the design. Provide design output, including analytical results of all technical and design analyses and how these translate to project element designs.

• **Permitting and Stakeholder Consultation:** A description of regulatory and/or other public consultation activities. Review and address comments from agencies and other stakeholders in the preliminary design. This section is optional based on proposed deliverables in the application.

• **Preliminary Design Drawings:** The preparation of preliminary design drawings is key to completing a successful habitat restoration project. All design and restoration projects require preliminary design drawings. Provide preliminary design drawings in digital format (e.g. AutoCAD). Each drawing should be to scale, and it is strongly suggested that the vertical and horizontal scales on the drawings be kept the same.

For the preferred alternative, minimum drawing requirements include depiction of all elements of the project in sufficient detail to support project permitting and include at a minimum the following:

- Existing site plan showing: Area/location map; property boundaries; landownership; road, utilities, or other infrastructure as appropriate; scale; north arrow; water bodies and direction of flow; and bank-full width or mean low and high water (marine waters).

- Project site plan view drawing(s) showing proposed actions overlaid on the existing site plan (above). The site plan should include all project elements including installation and removal of fill, wood, rock, culverts, infrastructure, clearing and staging, dewatering, etc.

- Project profile and cross-section at important project locations showing water surface elevations relevant to the design (e.g. ordinary high water, maximum design flow, tidal elevations, flood elevations)

- Structure design details, as needed.
Appendix F-2: Preliminary Design Deliverables

Provide additional design drawings for complex projects and projects with multiple features or multiple sites.

- **Construction Quantities and Preliminary Construction Cost Estimate.**
- **Appendices:** Include references, analytical and model inputs, outputs, and other supporting documentation.

B. Design Review Comments  
(Optional at Preliminary Design Phase)

Send the preliminary design report and drawings to relevant stakeholders and the RCO grants manager after the in-house review. After a reasonable time for review, plan an on-site visit to review the design plans at the project location with stakeholders (e.g., landowners, co-managers, lead entity citizen and technical groups, the RCO grants manager, etc.).

These steps have been very useful for a comprehensive “reality check” for stakeholder review and consideration of all stated project objectives.

Send the RCO grants manager a memo (or similar correspondence) that consolidates stakeholder comments and other considerations received during design review. The memo should describe how the comments have (or have not) been incorporated into the design. Distribute this memo to all entities involved in the review. This step is optional because, for some sponsors, this step is more practical during the final design phase.

C. Permit Applications (Optional at Preliminary Design Phase)

The sponsor should provide permit applications or proof of permit receipt (e.g. copies of permits or permit numbers and issue dates) to the RCO grants manager or in the PRISM progress report under the “Permit” tab. This step is optional at the preliminary design phase because, for some sponsors, this step is more practical during the final design phase.
Appendix F-3: Final Design Deliverables

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¹Design-build construction projects have an abbreviated set of design requirements before construction. See Appendix F-4.
²Cultural resources compliance may be required if sponsor is conducting ground-disturbing activities during the design phases.
³Rough cost estimate of the preferred alternative.

### Conceptual Design

For restoration projects and preliminary and final design projects, the application requirements in the project proposal should comprise an adequate conceptual design.
Preliminary Design

RCO uses the term “preliminary project design” as either a final deliverable in a preliminary design project or an intermediate deliverable in the design process of a final design or restoration project. Submit the preliminary design deliverables to the RCO grants manager before progressing to the final design and restoration phases. See the preceding Appendix F-2: Preliminary Design Deliverables for detailed information on the preliminary design process.

Final Design

The final design will incorporate comments provided by stakeholders, landowners, RCO, and/or permit agencies about the preliminary design report and on-site review. The final design process must address and resolve all substantial issues raised in the permitting and stakeholder review process, so that all stakeholders agree on the final plans.

The final project design process converts the preliminary design drawings and report into a stand-alone and comprehensive set of final design drawings (construction drawings) and technical specifications for project construction. A licensed professional engineer must supervise the preparation of the final design unless the project design is straightforward and sponsor liability concerns are minimal. In that case, a licensed professional engineer may not be required and individuals with applicable experience and technical knowledge may complete the design.

Final Design Deliverables

While the design team may tailor the design process to suit the unique circumstances of each project, the following are required deliverables for final design and restoration projects. The RCO grants manager must accept these required deliverables before moving forward to construction.

- Design review comments
- Final design report and drawings (refer to Section F-2 for a list of items to include in the design report)
- Landownership Certification Form, if not already provided
- Technical specifications
- Final construction quantities and costs
- Contract bidding documents and general contract conditions (unless the project will be built by sponsor crew)
Appendix F-3: Final Design Deliverables

- Construction permits (optional)

The following section provides more details on the final design deliverables.

**Design Review Comments**

Include the design review memo in the final design report or submitted as a separate document.

Submit a memo that consolidates stakeholder comments and other considerations received during preliminary design review. The memo should explain how the comments and other feedback have, or have not, been included in the final design. Distribute this memo to all entities involved with design review. This step may have been completed during the preliminary design phase.

**Final Design Report and Drawings**

Revise the preliminary design report and drawings to address the review and permitting comments, as needed. RCO may need additional detailed drawings to clarify the design of specific work items. Final designs should define the project elements considered essential to meet the project’s goals and objectives in sufficient detail to minimize changes made during construction.

**Technical Specifications**

Technical specifications may be included in the final design report or as a separate document.

Support all work shown on project drawings with one or more technical specifications to further describe and/or control the work. The construction contractor should know about project materials, technical requirements, project elevations, permit requirements, or any other elements of the proposed project. Clear and detailed technical specifications reduce on-the-ground adjustments and changes that may deviate from the original project objectives.

**Final Construction Quantities and Costs**

Include construction quantities and costs in the final design report or as a separate document.

WCRRRI-funded projects require a detailed list of work items and quantities as part of the final project design; the practice of listing a lump sum cost for the entire project is not acceptable. A detailed breakdown of work quantities typically includes 10 to 40 separate work items, matched with respective estimated quantities. Generate a construction cost estimate for comparison with contractor bids to ensure a competitive bid; any
experienced project designer can produce this estimate, traditionally termed “engineer’s estimate.”

**Contract Bidding Documents and General Contract Conditions**

Include contract bidding documents and contract conditions in the final design report or as a separate document.

If the sponsor’s construction crew will build the project, then bidding documents and contract conditions are not required; however, the requirements for technical specifications and a detailed list of work items (above) still apply.

Bidding documents should include: A bid form, definitions, a proposed agreement (to be between the sponsor and contractor), general conditions, special provisions, technical specifications, and the project drawings (usually bound separately).

Sponsors should select contractors using good business practices, which could include selective negotiations with known contractors, public advertisement for bidding, or competitive bidding using some combination of proposed price and contractor qualifications. The contractor selection process should be objective and defensible in case of contest by companies not selected for the construction work. Follow all applicable state and/or required federal procurement procedures.

**Construction Permits (Optional at the Final Design Phase)**

Provide permit applications or proof of permit receipt (e.g., copies of permits or permit numbers and issue dates) to the RCO grants manager or in a PRISM progress report. This step is optional at the final design phase because, for some sponsors, this step is more practical during the construction phase.
Appendix F-4: Construction Deliverables

For restoration projects, preliminary and final design projects, the application requirements in the project proposal comprise an adequate conceptual design.
Appendix F-4: Construction Deliverables

Preliminary Design

Submit preliminary design deliverables to the RCO grants manager before moving onto the final design and restoration phases. See Appendix F-2: Preliminary Design Deliverables for detailed information on the preliminary design process.

Final Design

Before awarding the construction contract or initiating construction, submit the final design deliverables to the RCO grants manager. See Appendix F-3: Final Design Deliverables for detailed information on the final design process and required pre-construction design deliverables.

Design-Build Projects

Most sponsors complete final design reports before moving forward into construction. However, some sponsors prefer to proceed to construction after completing a preliminary design. RCO refers to these projects as “design-build” projects.

Design-build projects are considered only in cases where the sponsor, the engineer, and construction crew have extensive experience and have been successful with a particular project type. Additionally, design-build may be considered where design is straightforward and liability concerns are minimal. Design-build projects typically develop less detailed drawings before construction than other construction projects. In exchange, design-build documents typically include a detailed written description of how to locate and construct various project elements in the field. Design-build projects require the project designer to provide a high level of construction oversight to ensure the project goes as planned. Sponsors should develop detailed, as-built drawings following construction, and submit them to the RCO grants manager before project close-out. Sponsors must obtain all required permits before construction.

If proposing the design-build method to complete the project, indicate this on the project proposal and describe the pre-construction design deliverables that will be submitted to RCO in lieu of the final design and report.

The application and the Technical Review Panel’s recommendations will develop the specific deliverables for design-build projects. The special conditions section of the grant agreement will identify specific project deliverables.

Construction Phase

This section identifies the required pre-construction deliverables, the construction management process, and “as-built” requirements.
Pre-Construction Deliverables

1. **Control and tenure documentation.** Before construction, provide control and tenure documentation of the property being restored. See Section 6 for more information.

2. **Cultural resources review.** Real property restored through RCO funding is subject to [Governor’s Executive Order 21-02](#) or compliance with Section 106 of the National Historic Preservation Act. RCO requires documented compliance with the applicable cultural resources review process. For more information on cultural resources review, see Section 6.

3. **Proof of permits.** Before construction, secure all necessary permits and submit proof of permit receipt (e.g. copies of permits or permit numbers and issue dates) to the RCO grants manager or in a PRISM progress report.

Construction Management

To minimize unintended errors introduced during construction, RCO highly recommends that the project engineer has direct, on-site involvement during construction. Some project sponsors may have extensive construction experience and knowledge and may perform daily construction supervision. RCO recommends that the sponsor and the engineer agree to share construction supervision responsibilities with mutual confidence required of both entities. The engineer should be confident that the on-site construction inspector will recognize any problems before construction is complete and ensure daily communication between the construction inspector and engineer. The engineer should review and approve substantial changes during construction before implementation.

Post-Construction Deliverable: “As-Built Drawings”

Document all changes made during construction. “As-built drawings” refers to the conventional term applied to project design drawings modified by the engineer after completion of construction to document the completed project. Prepare “as-built drawings” if changes were made to the final design during construction and if the sponsor used a design-build construction approach. Submit these drawings to the RCO grants manager after project completion.

Instead of the conventional “as-built drawings” described above, RCO may allow the sponsor to submit the following as-built documentation:

- Original final designs (if no changes were made during construction).
- Original final designs with a list of change orders describing the construction changes.
• A design memo from the engineer with notations on the final design/construction plans identifying the changed elements of the project with photo points and photographs showing the project post-construction.